United States Department of State Bureau of Political-Military Affairs Directorate of Defense Trade Controls Office of Defense Trade Controls Compliance

Helpful Hints on Preparing a Complete Registration Package & Submitting Material Changes to Registration

HELPFUL HINTS

A. <u>SUBMITTING A COMPLETE REGISTRATION PACKAGE</u>

The Office of Defense Trade Controls Compliance (DTCC) is posting this list of helpful hints to help improve the quality of registration submissions and to reduce review times.

What is considered a complete registration package for a new or renewal submission?

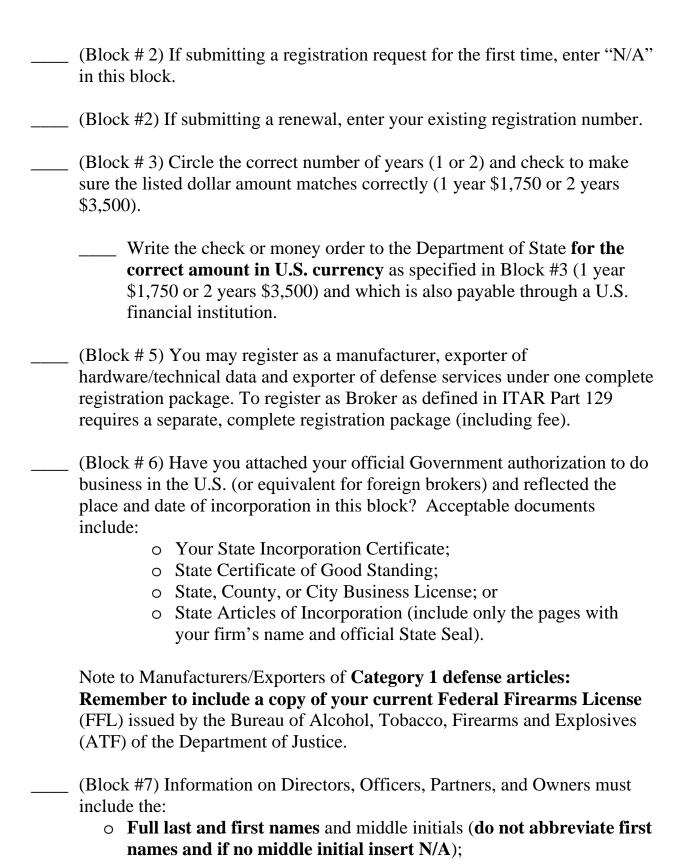
- **A** complete registration package includes:
 - o Form DS-2032 (Statement of registration);
 - o Transmittal Letter;
 - Documentation of incorporation or other authorization to do business in the United States;
 - o Fees prescribed in Section 122.3(a); and
 - o It must be signed by a senior officer, who also qualifies as an empowered official per Section 120.25.
- ❖ A renewal package requires ALL of the same documentation as an initial submission. However (pursuant to ITAR Section 122.3(b)), it MUST be received by DTCC 30 days BEFORE expiration. We would recommend, however, that packages be submitted and received by this office at least 60 days prior to the expiration date to further reduce the chance that your registration expires and consequently lose your ability to export or use ITAR exemptions until your registration review is completed by DDTC.

What are some helpful hints to ensure that the submission is complete?

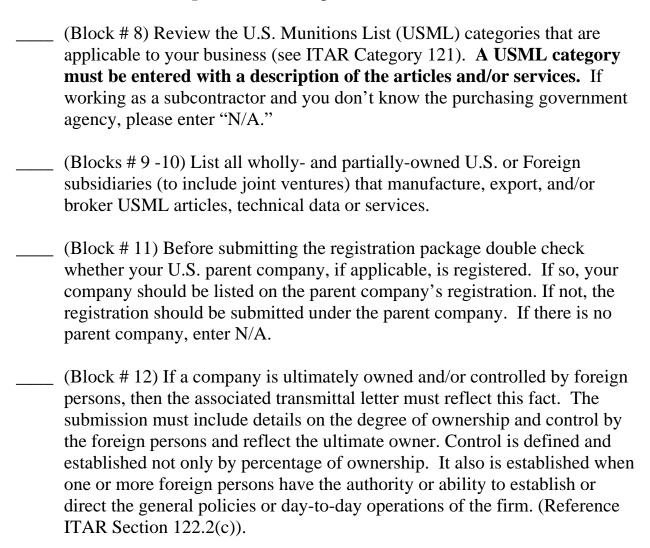
Answering the following questions should help you submit a complete package (Note: this is a list of information commonly left out and does not cover every block of the form DS-2032)

Have you put a response in every block? For example, if Block #2 and/or

Blocks # $9 - 12$ do not apply to your company, enter "N/A."
 (Block # 1) Have you included your company name and address and included telephone number and fax number where DTCC may contact you?



- Position (e.g., President, Chief Executive Officer, Chief Financial Officer reflected in the articles of incorporation, partnership or joint venture agreement);
- Foreign Directors and Owners citizenship must be specifically identified. If living in the United States, provide permanent residency documentation and visa information, as applicable, as an additional attachment;
- o Place of birth should include city, state, and country;
- o Social Security # (If not provided may take longer to process);
- o **Home Address** (Must be a physical street address. You may add a mailing address, but it cannot be a substitute for the physical address);
- o Citizenship (if U.S. citizen please enter "U.S.").



	For Block # 14, ensure the Registration Form DS-2032 <u>and</u> transmittal letter are signed by a <u>senior officer</u> listed in Block #7, who qualifies as empowered official as defined in ITAR Section 120.25.
B. <u>S</u>	<u>UBMITTING MATERIAL CHANGES</u> (Officers, Company Name & Address). Make sure they are submitted:
	In required time-frames (60 days for foreign ownership and control and 5 days for other material changes)
	On Company Letterhead
	Listing your current registration number
	With a revised Transmittal Letter and signed by a senior officer of the company, who qualifies as an empowered official (per ITAR Section 120.25) (an individual listed in Block #7 on DS-2032 form)
	With the current date
	With all legal documentation as attachments supporting the material change. For example:
	Ineligibility Changes (5-days): Documentation such as indictment, letter of suspension or debarment, conviction.
	Officer/Director Changes (5-days): Documentation to include all detail on the individual being added that would be included in Block #7 of the Form 2032. Revise transmittal letter to reflect eligibility of persons added and include as attachment.
	Company Name & Address Changes (5-days): Changes need to be submitted on your new company letterhead. Include documentation supporting the change, such as a business license or articles of incorporation, plus a new federal firearms license (as applicable).
	Domestic Acquisitions/Divestitures (5-days):

Specify type of transaction and whether the registrant is the buyer or seller. Identify all parties to be involved, licenses to be moved from one registrant code to another, any senior officer changes, for example.

Foreign Acquisitions/Divestitures (60-days):

Specify type of transactions and whether the registrant is the buyer or seller. Identify all parties to be involved, any changes in registrant structure or senior officers. Need specific details on changes to current registrant ownership and control by specific individuals or companies, their authorities or abilities to establish or direct the general policies or day-to-day operations of the registrant. Recommend including current compliance structure from senior officer to empowered officials, where located, who they report to, and current compliance program. Other information may be requested to review the transaction per ITAR Section 122.4(b).

Mailing Your Registration Form

Postal and Express Mailing Address and Courier Delivery Service

U.S. Department of State Directorate of Defense Trade Controls Compliance & Registration Division 2401 E Street NW, SA-1, Room H1200 Washington, DC 20522-0112

(Until the form is updated, this mailing information supercedes that provided on the DS-2032 instructions page.)

General Questions on Registration?

Please call the Registration Team at (202) 663-2815, (202) 663-2813, or (202) 663-2986. Fax – (202) 261-8695